

FREE RESOURCE

ISO Gap Assessment & ROI Checklist

Find your gaps. Calculate your cost. Build your system.

Before you can close the gap, you need to know where the gaps are.

This checklist walks you through the key control areas of ISO management systems against your current practices. It then helps you calculate what the absence of those systems is already costing your business.

Astute Business Consult ...*System, Standard, Strategy*

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How to Use This Checklist

Toyota did not build the world's most successful management system by guessing where its problems were. Taiichi Ohno spent a decade on factory floors finding the waste, naming it, and removing it. This checklist gives you the same starting point for your business.

Work through each section honestly. The gap assessment tells you where your management systems are strong, where they are partial, and where they do not yet exist. The ROI assessment helps you calculate what those gaps are already costing you, in rework, lost tenders, customer complaints, and regulatory exposure.

There are no right answers to perform for. The value of this checklist is in what it shows you before a regulator, a client, or a crisis shows you first.

The Three Sections

- **Section 1: Gap Assessment** — How your current operations compare to ISO management system requirements across six key control areas.
- **Section 2: ROI Assessment** — What the absence of those systems is already costing your business across measurable areas.
- **Section 3: Next Steps** — How to close the gaps with Astute Business Consult.

How to Score

Yes

The control area is formally documented, implemented, and followed consistently.

Partial

The control area exists informally or inconsistently but has not been fully documented or implemented.

No

The control area does not exist in any formal or documented form.

Section 1: Gap Assessment

For each question, mark Yes, Partial, or No based on how your business currently operates, not how you intend to operate or plan to in the future.

1.1 Process Documentation

QUESTION	YES	PARTIAL	NO
Does your business have written procedures for its core operations?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Are those procedures reviewed and updated on a regular schedule?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Do staff follow documented processes consistently, not improvised ones?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Are roles and responsibilities formally assigned and communicated?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Does your business have a documented quality or management policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No

1.2 Asset Management

QUESTION	YES	PARTIAL	NO
Does your business maintain a current inventory of its physical and digital assets?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Are assets assigned to responsible owners within the organisation?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Does your business have a process for retiring or disposing of assets securely?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Are software licenses and IT assets tracked and kept up to date?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No

1.3 Access Controls

QUESTION	YES	PARTIAL	NO
Are access rights to systems and data granted based on role, not convenience?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Does your business have a process for revoking access when staff leave?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Are sensitive records and data protected from unauthorised access?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Is there a formal process for approving access to critical systems?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No

1.4 Vulnerability and Risk Management

QUESTION	YES	PARTIAL	NO
Does your business formally identify and assess operational risks?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No

QUESTION	YES	PARTIAL	NO
Are those risks documented and reviewed on a regular basis?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Does your business have controls in place to reduce its most significant risks?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Are software systems and equipment maintained and updated regularly?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Is there a process for responding when a known risk materialises?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No

1.5 Incident Response

QUESTION	YES	PARTIAL	NO
Does your business have a documented process for responding to operational incidents?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Are incidents formally recorded and reviewed after they occur?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Does your business track whether the same incidents repeat?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Is there a designated person responsible for managing incidents when they occur?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Has your incident response process been tested in the last twelve months?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No

1.6 Regulatory Readiness

QUESTION	YES	PARTIAL	NO
Does your business know which data protection regulations apply to its operations?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Are customer and employee data handled in line with applicable regulations?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Does your business have documentation it could show a regulator on request?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Is there a process for staying updated on regulatory changes in your sector?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No
Has your business conducted a formal compliance review in the last twelve months?	<input type="checkbox"/> Yes	<input type="checkbox"/> Partial	<input type="checkbox"/> No

Section 2: ROI Assessment

The question most business owners ask about ISO certification is what it will cost. This section helps you ask the more useful question: what is the absence of a management system already costing your business?

For each cost area, estimate the amount your business has lost or spent in the last twelve months as a result of not having a formal system in place. Use rough figures. The purpose is not precision. It is awareness.

2.1 Operational Waste

COST AREA	ESTIMATED COST TO YOUR BUSINESS
Rework: work that had to be redone because the process was not clear or not followed	Your estimate: _____
Excess inventory: materials or stock held longer than needed due to poor procurement planning	Your estimate: _____
Staff time lost to unclear processes, repeated questions, or avoidable delays	Your estimate: _____
Equipment or resource downtime caused by poor maintenance or asset management	Your estimate: _____

2.2 Lost Revenue

COST AREA	ESTIMATED COST TO YOUR BUSINESS
Tenders or contracts lost because the business lacked ISO certification	Your estimate: _____
Export or supply opportunities not pursued because of missing quality credentials	Your estimate: _____
Client relationships that did not progress past initial conversations due to credibility concerns	Your estimate: _____
Revenue lost to a competitor who held certification and cleared the qualification threshold	Your estimate: _____

2.3 Incident and Crisis Costs

COST AREA	ESTIMATED COST TO YOUR BUSINESS
Cost of responding to an operational incident that a formal process could have prevented	Your estimate: _____
Customer compensation, refunds, or goodwill gestures due to service or product failures	Your estimate: _____

COST AREA	ESTIMATED COST TO YOUR BUSINESS
Staff time spent managing a crisis rather than delivering work	Your estimate: _____
Regulatory penalties, fines, or investigation costs in the last twelve months	Your estimate: _____

2.4 Hidden Costs

COST AREA	ESTIMATED COST TO YOUR BUSINESS
Staff turnover linked to unclear roles, poor processes, or lack of organisational structure	Your estimate: _____
Customer complaints that pointed to the same unresolved process failure more than once	Your estimate: _____
Time spent by management firefighting issues that a structured system would have prevented	Your estimate: _____
Reputational damage from an incident that became visible to clients or the public	Your estimate: _____

TOTAL ESTIMATED COST OF NO SYSTEM	# _____
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Section 3: Next Steps

Toyota did not ask what building a management system would cost in 1950. It assessed what competing without one would cost over the following decades, built the system anyway, and ran it for seventy years while Detroit calculated quarterly margins.

If the numbers in Section 2 surprised you, they are meant to. The cost of not having a system is rarely visible as a single line item, but it accumulates in every rework cycle, every lost tender, and every crisis that a formal process would have prevented.

What Astute Business Consult Covers

At Astute Business Consult, we handle the entire ISO journey from start to finish. You do not need to piece together training, implementation, and certification from different providers.

- **ISO Certification Training** — Foundation, Implementer, and Lead Auditor programmes across ISO 9001, ISO 14001, ISO 45001, FSSC 22000, and ISO 27001.
- **Implementation Support** — Hands-on help designing and rolling out the management system inside your organisation.
- **Consultation** — Expert guidance on which standard fits your situation and the most direct path to certification.